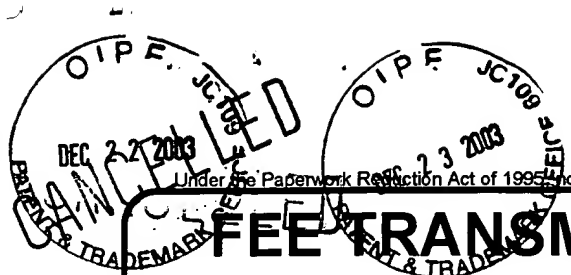


|   |   |                        |                       |
|---|---|------------------------|-----------------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |   | Application Number     | 09/990,522            |
|   |   | Filing Date            | November 21, 2001     |
|   |   | First Named Inventor   | Choy-Pik Chiu, et al. |
|   |   | Art Unit               | 1636                  |
|   |   | Examiner Name          | Quang Nguyen          |
| Total Number of Pages in This Submission  | 6 | Attorney Docket Number | 097/002               |

| ENCLOSURES (Check all that apply)  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form (in duplicate)<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement (2 pages)<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br><input type="checkbox"/> Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) (in duplicate)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): |
| <b>Remarks</b><br>1. PTO Form 1449 (1 page) + copies of 10 references  |  |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | J. Michael Schiff, Registration No. 40,253 |
| Signature                                  | <i>[Signature]</i>                         |
| Date                                       | December 19, 2003                          |

| CERTIFICATE OF TRANSMISSION/MAILING   |                    |      |                   |
|---|--------------------|------|-------------------|
| I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. |                    |      |                   |
| Typed or printed name   | Karen Mahausky     |      |                   |
| Signature   | <i>[Signature]</i> | Date | December 19, 2003 |



# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180

## Complete if Known

|                      |                       |
|----------------------|-----------------------|
| Application Number   | 09/990,522            |
| Filing Date          | November 21, 2001     |
| First Named Inventor | Choy-Pik Chiu, et al. |
| Examiner Name        | Quang Nguyen          |
| Art Unit             | 1636                  |
| Attorney Docket No.  | 097/002               |

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
Name

07-1139

Geron Corporation

The Director is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description        | Fee Paid |
|-------------------------------|-------------------------------|------------------------|----------|
| 1001 770                      | 2001 385                      | Utility filing fee     |          |
| 1002 340                      | 2002 170                      | Design filing fee      |          |
| 1003 530                      | 2003 265                      | Plant filing fee       |          |
| 1004 770                      | 2004 385                      | Reissue filing fee     |          |
| 1005 160                      | 2005 80                       | Provisional filing fee |          |

SUBTOTAL (1) (\$) 0

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| Independent        | -20** =      | X              |          |
| Multiple Dependent | -3** =       | X              |          |

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description  | Fee Paid |
|-------------------------------|-------------------------------|--|----------|
| 1202 18                       | 2202 9                        | Claims in excess of 20                                     |          |
| 1201 86                       | 2201 43                       | Independent claims in excess of 3                          |          |
| 1203 290                      | 2203 145                      | Multiple dependent claim, if not paid                      |          |
| 1204 86                       | 2204 43                       | ** Reissue independent claims over original patent         |          |
| 1205 18                       | 2205 9                        | ** Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  | Fee Paid |
|---------------|---------------|--|----------|
| 1051 130      | 2051 65       | Surcharge - late filing fee or oath  |          |
| 1052 50       | 2052 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053 130      | 1053 130      | Non-English specification  |          |
| 1812 2,520    | 1812 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804 920*     | 1804 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805 1,840*   | 1805 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251 110      | 2251 55       | Extension for reply within first month                                     |          |
| 1252 420      | 2252 210      | Extension for reply within second month                                    |          |
| 1253 950      | 2253 475      | Extension for reply within third month                                     |          |
| 1254 1,480    | 2254 740      | Extension for reply within fourth month                                    |          |
| 1255 2,010    | 2255 1,005    | Extension for reply within fifth month                                     |          |
| 1401 330      | 2401 165      | Notice of Appeal   |          |
| 1402 330      | 2402 165      | Filing a brief in support of an appeal                                     |          |
| 1403 290      | 2403 145      | Request for oral hearing   |          |
| 1451 1,510    | 1451 1,510    | Petition to institute a public use proceeding                              |          |
| 1452 110      | 2452 55       | Petition to revive - unavoidable   |          |
| 1453 1,330    | 2453 665      | Petition to revive - unintentional   |          |
| 1501 1,330    | 2501 665      | Utility issue fee (or reissue)   |          |
| 1502 480      | 2502 240      | Design issue fee   |          |
| 1503 640      | 2503 320      | Plant issue fee  |          |
| 1460 130      | 1460 130      | Petitions to the Commissioner  |          |
| 1807 50       | 1807 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806 180      | 1806 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021 40       | 8021 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809 770      | 2809 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810 770      | 2810 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801 770      | 2801 385      | Request for Continued Examination (RCE)                                    |          |
| 1802 900      | 1802 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180

## SUBMITTED BY

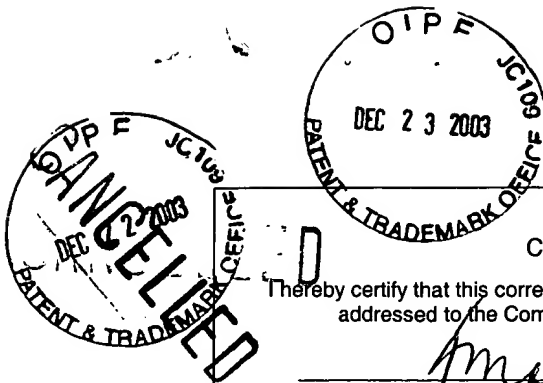
(Complete if applicable)

|                   |                   |                                   |           |           |                |
|-------------------|-------------------|-----------------------------------|-----------|-----------|----------------|
| Name (Print/Type) | J. Michael Schiff | Registration No. (Attorney/Agent) | 40,253    | Telephone | (650) 473-7715 |
| Signature         |                   | Date                              | Dec 16/03 |           |                |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



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Name

Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors: Choy-Pik Chiu & Robert Kay

Art Unit: 1636

Filing Date: November 21, 2001

Examiner: Quang Nguyen, Ph.D.

Serial No: 09/990,522

Docket: 097/002

Title: TOLERIZING ALLOGRAFTS OF  
PLURIPOTENT STEM CELLS

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
PURSUANT TO 37 CFR § 1.97(c)(2)

Commissioner for Patents & Trademarks  
Washington, D.C. 20231

Dear Sir:

The information listed in the accompanying form PTO-1449 and provided herewith may be material to examination of this application and is submitted in compliance with the duty of disclosure under 37 CFR § 1.56. The Examiner is requested to make this information of record in the application.

This Information Disclosure Statement is not to be construed as a representation that a full search for relevant information has been made, that all relevant information has been found, or that the information provided with this Statement is considered to be material to patentability of the claimed invention as defined under 37 CFR § 1.56(b).

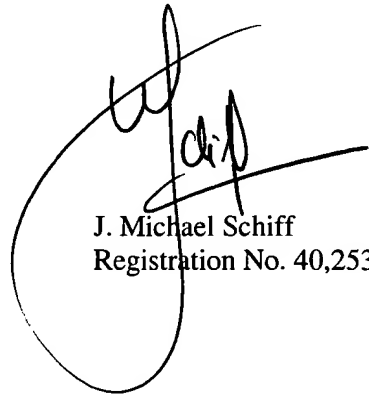
12/31/2003 BSAYASI1 00000014 071139 09990522

01 FC:1806 180.00 DA

This Information Disclosure Statement is being filed after the first Office Action on the merits, pursuant to 37 CFR § 1.197(c)(2). Authorization to charge Deposit Account 07/1139 with the fee therefor under 37 CFR § 1.117(p) is provided in the accompanying fee calculation sheet.

Should any other fees be required for further consideration of the application, the Commissioner is hereby authorized to charge such fees (or credit any overpayment) to the Deposit Account.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'J. Michael Schiff', is written over a large, loopy circular flourish.

J. Michael Schiff  
Registration No. 40,253

GERON CORPORATION  
230 Constitution Drive  
Menlo Park, CA 94025  
*Telephone: (650) 473-7715*  
*Fax: (650) 473-8654*

December 18, 2003

Form 1449 (modified)

Information Disclosure Statement By Applicant

DEC 23 2003

U.S. PATENT & TRADEMARK OFFICE

Socket: 097/002

Title: Tolerizing Allografts of Pluripotent Stem Cells

Inventors: Choy-Pik Chiu, Robert M. Kay

Filing Date: November 21, 2001

U.S.S.N. 09/990,522

Group: 1636 Examiner: Q. Nguyen

**U.S. Patent Documents**

| Examiner Initial | Ref. | Patent No. | Filing Date | Issue Date | Class/ Subclass | Inventors:      | Title:   |
|------------------|------|------------|-------------|------------|-----------------|-----------------|--|
|                  | FA   | 6,368,636  | Oct 26/99   | Apr. 9/02  | 424/577         | McIntosh et al. | Mesenchymal stem cells for prevention and treatment of immune responses in transplantation |
|                  |      |            |             |            |                 |                 |  |

**Foreign Patent or Published Foreign Patent Application**

| Examiner Initial | Ref. | Document No. | Publ. Date | Jurisdiction | Title: | Translation |    |
|------------------|------|--------------|------------|--------------|--------|-------------|----|
|                  |      |              |            |              |        | Yes         | No |
| (NONE)           |      |              |            |              |        |             |    |

**Other Documents**

| Examiner Initial | Ref. | Author, Title, Date, Source  |
|------------------|------|--|
|                  | FB   | Barber et al. Long-term results of a controlled prospective study with transfusion of donor-specific bone marrow in 57 cadaveric renal allograft recipients. Transplantation 51:70, 1991. (abstract) |
|                  | FC   | Fontes et al. Bone marrow augmentation of donor-cell chimerism in kidney, liver, heart, and pancreas islet transplantation. Lancet 344(8916):151, 1994. (abstract)                                   |
|                  | FD   | Kuhr et al. Tolerance to vascularized kidney grafts in canine mixed hematopoietic chimeras. Transplantation 73:1487, 2002.   |
|                  | FE   | Menaché et al. Autologous skeletal myoblast transplantation for severe postinfarction left ventricular dysfunction. J. Am. Coll. Cardiol. 41:1078, 2003.   |
|                  | FF   | Rifle & Mousson. Donor-derived hematopoietic cells in organ transplantation: A major step toward allograft tolerance? Transplantation 75 Suppl: 3S, 2003.  |
|                  | FG   | Seung et al. Hematopoietic chimerism and central tolerance created by peripheral-tolerance induction without myeloablative conditioning. J. Clin. Invest. 112:795, 2003.                             |
|                  | FH   | Wekerle et al. Mechanisms of tolerance induction through the transplantation of donor hematopoietic stem cells: Central versus peripheral tolerance. Transplantation 75 suppl:21S, 2003.             |
|                  | FI   | Xu et al. Characterization and enrichment of cardiomyocytes derived from human embryonic stem cells. Circ. Res. 91:501, 2002.  |
|                  | FJ   | Yao et al. Long-term outcome of fetal cell transplantation on postinfarction ventricular remodeling and function. J. Molec. Cell. Cardiol. 35:661, 2003.   |
|                  |      |  |

|          |                 |
|----------|-----------------|
| Examiner | Date Considered |
|          |                 |